



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office

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Washington, D.C. 20231

Dec 9 Feb 7 1999  
Section 101

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO./TITLE
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09/298,603 04/23/99 KLOTS

B 50277210

0212/0521

MCDERMOTT WILL & EMERY  
600 13TH STREET N W  
WASHINGTON DC 20005-3096

NOT ASSIGNED

DATE MAILED 776

05/21/99

### NOTICE TO FILE MISSING PARTS OF APPLICATION

*Filing Date Granted*

An Application Number and Filing Date have been assigned to this application. The items indicated below, however, are missing. Applicant is given **TWO MONTHS FROM THE DATE OF THIS NOTICE** within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a). If any of items 1 or 3 through 5 are indicated as missing, the **SURCHARGE** set forth in 37 CFR 1.16(e) of ☐ \$65.00 for a small entity in compliance with 37 CFR 1.27, or ☒ \$130.00 for a non-small entity, must also be timely submitted in reply to this NOTICE to avoid abandonment.

If all required items on this form are filed within the period set above, the total amount owed by applicant as a ☐ small entity (statement filed) ☐ non-small entity is \$ 130.00.

☐ 1. The statutory basic filing fee is:

- ☐ missing.
- ☐ insufficient.

Applicant must submit \$ \_\_\_\_\_ to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).

☐ 2. The following additional claims fees are due:

\$ \_\_\_\_\_ for \_\_\_\_\_ total claims over 20.

\$ \_\_\_\_\_ for \_\_\_\_\_ independent claims over 3.

\$ \_\_\_\_\_ for multiple dependent claim surcharge.

Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

☐ 3. The oath or declaration:

- ☐ is missing or unsigned.
- ☐ does not cover the newly submitted items.

An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.

☐ 4. The signature(s) to the oath or declaration is/are by a person other than inventor or person qualified under 37 CFR 1.42, 1.43 or 1.47.

A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.

☒ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

Second Inventor Roger Bamford

An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

☐ 6. A \$50.00 processing fee is required since your check was returned without payment (37 CFR 1.21(m)).

☐ 7. Your filing receipt was mailed in error because your check was returned without payment.

☐ 8. The application was filed in a language other than English.

Applicant must file a verified English translation of the application, the \$130.00 set forth in 37 CFR 1.17(k), unless previously submitted, and a statement that the translation is accurate (37 CFR 1.52(d)).

☐ 9. OTHER \_\_\_\_\_

Direct the reply and any questions about this notice to "Attention: Box Missing Parts."

**A copy of this notice MUST be returned with the reply.**

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Initial Patent Examination Division (703) 308-1202

BEST AVAILABLE COPY

Docket No.: 50277-210

PATENT

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of

BORIS KLOTS, et al.

Serial No.: 09/298,603

Filed: April 23, 1999

For: COMMUNICATION ARCHITECTURE FOR DISTRIBUTED COMPUTING  
ENVIRONMENT



Group Art Unit: 2776

Examiner: Not Assigned

**RESPONSE TO NOTICE  
OF MISSING PARTS OF APPLICATION**

Box Missing Parts  
Assistant Commissioner for Patents  
Washington, DC 20231

Sir:

In response to the Notice To File Missing Parts of Application dated May 21, 1999,  
submitted herewith are photocopies of the following documents which were filed together with  
the patent application in the U.S. Patent and Trademark Office on April 23, 1999:

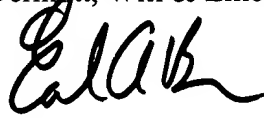
1. Declaration for Patent Application signed by second inventor ROGER BAMFORD;
2. The Utility Patent Application transmittal;
3. The Early Serial Number postcard returned from the USPTO confirming receipt of the documents indicated;
4. The U.S. Post Office Express Mail receipt confirming the filing date of April 23, 1999.

Since a Declaration for the second inventor ROGER BAMFORD was properly filed with  
the application on April 23, 1999, it is respectfully submitted that the Notice to File Missing

Parts of Application was generated in error. Accordingly, the late filing fee surcharge has not been submitted and the issuance of a corrected official filing receipt is respectfully requested.

Respectfully submitted,

McDermott, Will & Emery



Edward A. Becker  
Registration No. 37,777

600 13<sup>th</sup> Street, N.W.  
Washington, DC 20005-3096  
(408) 271-2300 EAB:ccf  
**Date:** June 1, 1999

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, DC 20231

on

6/1/99

by

Clare C. Finney

Docket No.: 50277-210



**UTILITY PATENT APPLICATION  
UNDER 37 CFR 1.53(b)**

Box PATENT APPLICATION  
Assistant Commissioner for Patents  
Washington, DC 20231  
Sir:

Transmitted herewith for filing is the patent application of:

INVENTORS: BORIS KLOTS, ROGER BAMFORD  
FOR: COMMUNICATION ARCHITECTURE FOR DISTRIBUTED COMPUTING  
ENVIRONMENT

Enclosed are:

- ☒ 26 pages of specification, claims, abstract.
- ☒ Declaration (2 sets).
- ☒ Power of Attorney.
- ☒ 5 sheets of formal drawing.
- ☒ An assignment of the invention to Oracle Corporation  
and the assignment recordation fee.
- ☐ Information Disclosure Statement, Form PTO-1449 and reference.
- ☒ Return Receipt Postcard

The filing fee has been calculated as shown below:

	NO. OF CLAIMS		EXTRA CLAIMS	RATE	AMOUNT
Total Claims	29	-20	9	\$18.00	\$162.00
Independent Claims	4	-3	1	\$78.00	\$78.00
Multiple Dependent Claim(s)					\$0.00
Basic Fee					\$760.00
Total of Above Calculations					\$1,000.00
Less 1/2 for Small Entity					\$0.00
Assignment & Recording Fee					\$40.00
Total Fee					\$1,040.00

- ☒ Please charge my Deposit Account No. 50-0385 in the amount of \$1,040.00. A duplicate copy of this sheet is enclosed.

- ☒ The Commissioner is hereby authorized to charge payment of the following fees associated with this communication or credit any overpayment to Deposit Account No. 50-0385. A duplicate copy is enclosed.
- ☒ Any additional filing fees required under 37 CFR 1.16.
- ☒ The Commissioner is hereby authorized to charge payment of the following fees during the pendency of this application or credit any overpayment to Deposit Account No. 50-0385. A duplicate copy of this sheet is enclosed.
- ☒ Any patent application processing fees under 37 CFR 1.17.
- ☒ Any filing fees under 37 CFR 1.16 for presentation of extra claims.

Respectfully submitted,

McDERMOTT, WILL & EMERY



Edward A. Becker  
Registration No. 37,777

600 13<sup>th</sup> Street, N.W.  
Washington, DC 20005-3096  
(202) 756-8000 EAB:ccf  
**Date: April 23, 1999**  
Facsimile: (202) 756-8699

EL283673201US

**EXPRESS MAIL CERTIFICATE OF MAILING**

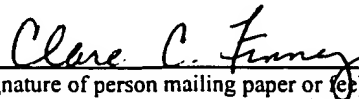
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Date of Deposit 4/23/99

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Commissioner of Patents and Trademarks, Washington, D.C. 20231.

CLARE C. FINNEY

(Typed or printed name of person mailing paper or fee)



(Signature of person mailing paper or fee)



Applicant: B. Klotz et al. Docket No. 52277-210  
Title/Mark: Communication Architecture Serial/Reg./Patent No. New  
Date Sent: 4/23/99 ☐ Hand Carried ☐ 1st-Class Mail ☐ Cert. of Mailing ☒ Express Mail No. EL28367320145  
☐ Transmittal Letter  
☒ Utility/Design/Continuation/CIP/FWC/Divisional/PCT  
☐ Other: \_\_\_\_\_  
\_\_\_\_\_ pages of Specification  
\_\_\_\_\_ pages of Claims  
\_\_\_\_\_ pages of Abstract  
\_\_\_\_\_ pages of Formal/Informal Drawings  
☐ Information Disclosure Statement  
\_\_\_\_\_ Form PTO 1449  
\_\_\_\_\_ copies of cited references  
☐ Preliminary Amendment  
☐ Response to Missing Parts Notice  
☐ Certified Copy of Priority Doc.  
☐ Claim for Convention Priority  
☐ Verified Statement of Small Entity Status  
☐ Transmittal of Issue Fee: Form PTO 85b \_\_\_\_\_ Form PTO 85C \_\_\_\_\_  
☐ Maintenance Fee for \_\_\_\_\_ years after grant  
☐ Notice of Appeal ☐ Appeal Brief  
☒ Recordation of ☒ Patent ☐ Trademark: Assignments/Security Agreements/  
☐ Response/Amendment to Office Action of \_\_\_\_\_ ☐ Petition to Commissioner for \_\_\_\_\_  
☐ Trademark/Service Mark/Intent-To-Use Application  
☐ Amendment to Allege Use ☐ Statement of Use  
☐ Formal/Informal/Substitute Drawing Sheet  
\_\_\_\_\_ (no. of) Substitute/Specimens  
☐ Continued Use Affidavit/Declaration Section 8 & 15  
☐ Notice of Opposition/Answer to \_\_\_\_\_  
☐ Ex Parte Appeal  
☐ Petition for Cancellation/ Answer to \_\_\_\_\_  
☐ Renewal of Reg. No. \_\_\_\_\_  
☒ Combined Declaration/Power of Attorney  
☐ Letter of Protest (2 Sets) By \_\_\_\_\_  
☐ Request for \_\_\_\_\_-day/month Extension of Time  
MAY 5 - 1999  
JC618 U.S. PTO  
09/298603  
04/23/99

Other: \_\_\_\_\_

Check for \$ \_\_\_\_\_ ☒ Total Deposit Account charge for \$ 1,040 - Attorney: EAB/CCF (4262)  
☐ CHI ☐ WASH (✓ SJ)

CLO2 Descrip.: (1) 760 - (3) 240 (4) 40 -

THE PATENT AND TRADEMARK OFFICE DATE STAMPED HEREON IS ACKNOWLEDGEMENT THAT THE ITEMS, CHECKED ABOVE, WERE RECEIVED BY THE PTO ON THE DATE STAMPED.

EARLY SERIAL NUMBER



EL283673201US



\* EL283673201US \*

POST OFFICE TO ADDRESSEE

ORIGIN (POSTAL USE ONLY)			
PO ZIP Code 95172	Day of Delivery <input type="checkbox"/> Next <input checked="" type="checkbox"/> Second	Flat Rate Envelope <input type="checkbox"/>	
Date In 4/23/99 Mo Day Year	<input checked="" type="checkbox"/> 12 Noon <input type="checkbox"/> 3 PM	Postage \$ 15.25	
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FROM: (PLEASE PRINT) PHONE (415) 271-2300 MODERMOTT WILL & EMERY 50 W SAN FERNANDO ST STE 330 SAN JOSE CA 95113-2415 (50277-210)	TO: (PLEASE PRINT) PHONE ( ) ASSISTANT COMMISSIONER FOR PATENTS SOX PATENT APPLICATION WASHINGTON DC 20231-0001

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